

SSPWG Compliance Audit Requirements October 18, 2006

In order to evaluate a compliance audit, the following information is required by the SSPWG:

1. Identity of the Auditor;
2. Competence of the Auditor to perform audits;
3. Experience of the Auditor in auditing PKI systems;
4. Relationship of the Auditor to the entity that owns the PKI being audited. This relationship must clearly demonstrate the independence of the auditor from the entity operating or managing the PKI.

In addition to this background, the auditor should prepare an audit report summary, ***signed by the auditor***, reporting the results after conducting the compliance audit. For a fully operational PKI, the report must include the following:

1. State that the operations of the PKI were evaluated for conformance to the requirements of the entity PKI CPS;
2. Report the findings of the evaluation in 1 above;
3. State that the entity PKI's CPS was evaluated for conformance to the supported certificate policies in the Common Policy Framework;
4. Report the findings of the evaluation in 3 above.

Where the PKI under evaluation is a new PKI and some procedures have only been performed in test environments, the report must include the following:

1. State which procedures have been performed using the operational system and could be fully evaluated for conformance to the requirements of the entity PKI CPS;
2. Report the findings of the evaluation in 1 above;
3. State which procedures have not been performed on the operational system and were evaluated for conformance to the requirements of the entity PKI CPS, but only with respect to training and procedures;
4. Report the findings of the evaluation in 3 above;
5. State that the entity PKI's CPS was evaluated for conformance to the supported certificate policies in the Common Policy Framework;
6. Report the findings of the evaluation in 5 above.

Note: These requirements are separate and distinct from the certification and accreditation requirements imposed by the Designated Approving Authority (DAA).